

## RECORDS RETENTION SCHEDULE

Gencoat 27907

Submit three copies to: Department of General Services, California Records and Information Management, 707 Third St. 2<sup>nd</sup> Fl., W. Sacramento, CA 95605.

A CalRIM Consultant may be reached by phone at (916) 375-4404, by fax at (916) 375-4408 or by email at CalRIM@dgs.ca.gov

(1) DEPARTMENT, BOARD OR COMMISSION Department of Health Care Services		(2) AGENCY BILLING CODE 85450		(3) PAGE 1 OF 9 PAGES	
(4) DIVISION/ BRANCH/ SECTION Administration Division		(5) ADDRESS 1501 Capitol Ave., MS 1000, Sacramento, CA 95889			
CHECK THE APPROPRIATE BOX					
(6) <input type="checkbox"/> New schedule of records that have never been scheduled. [Complete boxes (9) – (12)]					
(7) <input checked="" type="checkbox"/> Revising a previous schedule. [Complete boxes (13) – (16)] (A new approval number will be assigned.)					
(8) <input type="checkbox"/> Amending some pages of a previous schedule. [Complete boxes (13) – (16)] (The original approval number will remain in effect.)					
NEW SCHEDULE INFORMATION (If applicable)		(9) SCHEDULE NUMBER DHCS 07-04	(10) SCHEDULE DATE 8/31/07	(11) NUMBER OF PAGES 9	(12) CUBIC FEET (Total Schedule) 24.50
PREVIOUS SCHEDULE INFORMATION (If applicable)		(13) SCHEDULE NUMBER 62 (Rev 1)	(14) APPROVAL NUMBER 84-128	(15) APPROVAL DATE (S) May, 24, 1984	(16) PAGE NUMBER(S) REVISED -
(17) MISSION/FUNCTIONAL STATEMENT : Administration is responsible for the oversight and guidance of the Financial Management Branch, Fiscal Forecasting & Data Management Branch, Personnel Management Branch, Program Support Branch and the Office of Labor Relations					
PART I – AGENCY STATEMENTS					
As the program manager (or person authorized to sign for the program manager) directly responsible for the records listed on this records retention schedule, I certify that all records listed are necessary and that each retention period is correct. For revisions, all items on the previous schedule are included or accounted for on the recapitulation. Vital records identified by this schedule are protected. If protection is not currently provided but plans are underway, the details of such plans are shown in Column 45, Remarks.					
(18) SIGNATURE - MANAGER RESPONSIBLE FOR THE RECORDS <i>John Eastman</i>		(19) TITLE Deputy Director		(20) PHONE NUMBER 916-440-7528	(21) DATE SIGNED 1/4/08
In accordance with Government Code 14755, approval of this Records Retention Schedule by the Department of General Services is hereby requested. Retention periods shown have been established in accordance with the criteria set forth by Section 1667 of the State Administrative Manual.					
(22) SIGNATURE - RECORDS MGMT. ANALYST <i>A. Ann</i>		(23) CLASSIFICATION Records Analyst	(24) NAME (Printed or Typed) Aurelia "Vee" Rumrill	(25) PHONE NUMBER (916) 650-0193	(26) DATE SIGNED 1/8/08
PART II – DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)					
(27) SIGNATURE – CalRIM CONSULTANT <i>Janin Cefaruzzi</i>		(28) APPROVAL NUMBER 08-003		(29) DATE SIGNED 1/9/2008	(30) EXPIRATION DATE 1/9/2013
PART III – ARCHIVAL SELECTION (Per Government Code Section 14755)					
THE ATTACHED RECORDS RETENTION SCHEDULE:					
(31) <input type="checkbox"/> Contains no material subject to further review by the California State Archives					
(32) <input checked="" type="checkbox"/> Contains material subject to archival review. Items stamped "NOTIFY ARCHIVES" may not be destroyed without clearance by the California State Archives. (Per Section 1671 of the State Administrative Manual.)					
(33) SIGNATURE – CHIEF OF ARCHIVES OR DESIGNATED REPRESENTATIVE <i>Sydney Bailey, Archivist</i>				(34) DATE SIGNED Jan 17, 2008	



ITEM #	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA (Exempt) & IPA	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

			<u>GENERAL CORRESPONDENCE</u>								<p><b>Retention Criteria:</b> Retention criteria and life cycle of the records in this schedule is determined and recommended by Section Chief as a policy, unless otherwise noted. <b>For those records which have no governing law or authority for retention cited, the authority of the manager directly responsible for the records applies.</b></p> <p><b>Destruction Criteria:</b> All items are considered Non-confidential and recycled when retention period has expired, unless otherwise noted, specified and required as Confidential Destruction (CD).</p>
1	.50		Chronological Files (previously Item # 14)	P		1	1	2		X	
2	.50		General Correspondence (previously items 24-44)	P		1	1	2			(Government Code 6254[ c]) Confidential Destruction (CD)
			<u>CONTROLLED CORRESPONDENCE FILES</u> (Previously item #16)								
3	.50	NOTIFY ARCHIVES	Secretaries Action Requests (SAR'S)	P		3	0	3			
4	.50		Controlled Correspondence	P		3	0	3			
5	.50		Governors Action Requests	P		3	0	3			
6	.50		GOLDEN RODS (Request from the Governor's office for response or action)	P		3	0	3			
7	.50		BLUE RODS (request from agency for response or action)	P		3	0	3			
			<u>PERSONNEL</u>								
8	.50	NOTIFY ARCHIVES	Duty Statements and Manager's policy	P		Active	0	Active		X	Active until superseded/revised Confidential Destruction (CD)
9	.50		Employee Records	P		Active +1	0	Active +1		X	PRA2654, IPA 1798.40. Active until person is transferred or leaves state service. Confidential Destruction (CD)
10	.50		Adverse Action (previously Item #69)	P		Active +1	4	Active +5		X	Inactive when Decision rendered. Gov't Code 6254 (f) Confidential Destruction (CD)
11	.50		Absence Requests (previously Item #68)	P		Active +1	0	Active +1		X	(Gov't Code 6254[c]) Confidential Destruction (CD)
12	.50		Affirmative Action (previously Item #70)	P		1	0	1			
13	.50		Grievances (previously Item #74)	P		Active +1	4	Active +5			Inactive when Decision rendered. Gov't Code 6254 (f)

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(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

14	.50		Lawsuit Employees (previously Item #75)	P		Active +1		4	Active +5	X	Inactive when Decision rendered. Gov't Code 6254 (b) Confidential Destruction (CD)
15	.50		Travel (previously Item # 82)	P/M		1		0	1		
16	.50		Travel Advances (previously Item # 83)	P/M		1		0	1		
17	.50		<u>ACTIVITY REPORTS</u> (Monthly) (previously Item # 5)	P		1		1	2		
			<u>POLICIES &amp; PROCEDURES</u>								
18	.50	NOTIFY ARCHIVES	Contingency Plan (previously item #84)	P		1		0	1		
			Decision Memos:								
19	.50	NOTIFY ARCHIVES	Completed (previously item #85)	P		1		0	1		
20	.50	NOTIFY ARCHIVES	Pending (previously item #86)	P		1		0	1		
21	.50	NOTIFY ARCHIVES	Delegation Orders (previously item #87)	P		1		4	5		
22	.50	NOTIFY ARCHIVES	Departmental Reorganization (previously item #88)	P		1		4	5		
23	.50	NOTIFY ARCHIVES	Executive Orders (previously item #89)	P		1		4	5		
24	.50	NOTIFY ARCHIVES	Management Review Plan (previously item #93)	P		1		3	41		
25	.50	NOTIFY ARCHIVES	Policy and Procedure Memo's (previously item #97)	M/P		1		5	6		
			<u>ASSOCIATIONS</u>								
26	.50		Subscriptions Memberships (previously item #6)	M/P		1		3	4		
			<u>BUDGETS</u>								
27	.50		Budgets General Information (previously item #7)	M/P		1		0	1		
28	.50		Budget Act Mandated (previously item #8)	M/P		1		0	1		
29	.50		Legal Services (previously item #9)	M/P		1		0	1		
30	.50		Position Listings (previously item #10)	M/P		1		0	1		
31	.50		Temporary Positions (previously item #11)	M/P		1		0	1		

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(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

CONTRACTS

32	.50		Purchase Orders & Invoices	P		Active +1	1	3		
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33	.50		Contracts & Invoices (previously item #15)	P		Active +1	1	3		
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RECORDS MANAGEMENT

34	.50		Records Retention Schedule	M/P		Active	4	5		
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35	.50		Transfer List	M/P		Active	4	5		
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36	.25		<u>TRANSITORY E-MAILS</u> (applies to the entire schedule)	M		Active	0	Active		
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Transitory e-mails consist of electronic messages that are created primarily for the communication of informal information.

Destroy transitory E-mail messages when they have served their purpose.

37	1.0	NOTIFY ARCHIVES	<u>GOALS &amp; OBJECTIVES</u> (Departmental) (previously item #45)	M/P		Active	5	6		
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LEGISLATION

Implementation Plan:

38	.25	NOTIFY ARCHIVES	Assembly Bills (previously item #46)	M/P		2	0	2		
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39	.25	NOTIFY ARCHIVES	Senate Bills (previously item #47)	M/P		2	0	2		
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40	.25	NOTIFY ARCHIVES	Procedural Statutes – Mandated Reports (previously item #48)	M/P		2	0	2		
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41	.25	NOTIFY ARCHIVES	Legislative Analyst (previously item #49)	M/P		2	0	2		
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42	.25		Legislative Contracts (previously item #50)	M/P		2	0	2		
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LONG TERM PROJECTS

43	.25		Administrative Manual (Advanced Copy) (previously item #51)	M/P		1	1	2		
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44	.25		Block Grant Proposal (previously item #52)	M/P		1	1	2		
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[illegible]

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Discontinued Records Items from Previous Records Retention Schedule – Number 62 (Rev.1)

Last time the Record Retention Schedule was updated was in 1984. Several Administrations have come and gone during this time. Current Administration was not provided with any information as to how these records were disposed off and therefore cannot verify if these records were properly archived or destroyed.

The records listed below are discontinued since they could not be found in the current appointed Administration office

Probability exist that many of these records were transferred and are now maintained by the programs they pertain to.

#### Accounting

Item 1 – Accounting and Resources Management Systems (ARMS)

Item 2 – Audits

Item 3 – Controls

Item 4 – General

#### Business Services

Item 12 – Messenger Service

Item 13 – Parking

#### Data Processing

Item 17 – EDP (Electronic Data Processing)

Item 18 – EDP/CID Clerks (CID-Centralized Issuance Division)

Item 19 – Funding

Item 20 – SPAN (Statewide Public Assistance Network)

#### Equipment and Supplies

Item 21 – Communications & Equipment Survey

Item 22 – Equipment Requisitions

Item 23 – Surplus Equipment Survey

#### General Correspondence

Item 24 – Auditor General

Item 25 – Dept. of Finance

Item 26 – Dept. of Personnel Administration

Item 27 – Inspector General

Item 28 – Medi-Cal

Item 29 – Office of Legal Services

Item 30 – Charging for Publications

Item 31 – Review of Publications

#### Admin Division General Correspondence

Item 32 – Center for Health Statistics

Item 33 - Vital Statistics

Item 34 – Data System Branch – Correspondence File #1

Item 35 – CID Mail Unit

Item 36 – SPAN Evaluation

Item 37 – Financial Management Branch Correspondence File #1

Item 38 - Fiscal Forecasting

Item 39 – Office of Labor Relations

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Item 40 – Office of Planning and Review  
 Item 41 – Personnel Management Branch – Correspondence File #1  
 Item 42 – Health & Safety, Training and Recruitment  
 Item 43 – Program Support Branch – Correspondence File #1  
 Item 44 – Contract Management

**Personnel**

Item 71 - Appointment Position Roster  
 Item 72 – Employee Assistance Program  
 Item 73 – Freeze Exemption Requests  
 Item 76 – Performance Contracts  
 Item 77 – Personnel Exams  
 Item 78 - Placement of Employees (Admin Division)  
 Item 79 - Position Reduction  
 Item 80 – Salary Advances

**Policies and Procedures**

Item 90 – The Freeze  
 Item 91 – Leases  
 Item 92 – Management Designations  
 Item 94 – Management Rotation  
 Item 95 – Overtime  
 Item 96 – Parking

**Program Support**

Item 98 – Moving Expenses  
 Item 99 – Parking  
 Item 100 – Reasonable Accommodations  
 Item 101 – Rent Schedules  
 Item 102 – SROA (State Restriction of Appointment)

**Special Projects**

Item 103 – Bio-Med Labs  
 Item 104 – Fraud Control Task Force  
 Item 105 – Program Review Team

**DHS/CSC Contract Disputes**

Item 106 – Active  
 Item 107 - Closed

\* Provide total of office and departmental